

SUBCHAPTER f: GENERAL ADMINISTRATION
PROCEDURES 436 RECORDS MANAGEMENT
April 4, 1983

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436.1-436.5 General Procedures

The purpose of these procedures is to provide Department Administrators with step-by-step guidelines for the proper use of the DCFS Records Management Program. For questions regarding these procedures consult the Records Manager in the Office of Communication/Community Relations, One North Old State Capitol Plaza, Springfield, Telephone: (217) 785-2496.

The DCFS Records Management Program is operated in conjunction with the Archives and Records Division of the Secretary of State. Its purpose is to provide storage and reference service of semi-current records that the State Records Commission has approved for Records Center storage.

Developing a Record Schedule

Every unit of the Department that gathers, stores and retains data pertaining to the operation of the Department, and said data has fiscal, administrative or historical value, must develop a records retention schedule to legally retain, destroy or transfer to storage the unit records.

To develop a records retention schedule, the Division head must request the Records Manager to conduct an inventory of unit records, and with a field representative of the State Records Management Unit, Office of the Secretary of State, an application will be developed. The inventory will include interviews with unit heads, operations staff and a gathering of sample documents.

A draft schedule will be prepared and returned to the unit head for approval or revision. Upon unit approval, the final draft must have the agency head's approval prior to submitting to the Illinois Records Commission. When DCFS has items on the commission agenda, the Records Manager, along with a representative of the unit applying, will attend the Records Commission to explain or answer inquiries about the proposed schedule.

Only records which have an approved active records retention schedule which calls for Records Center retention are eligible for transfer to the Records Center. In selecting records for transfer, you should accurately comply with the recommended time periods for retention in the office and, afterwards, in the Records Center. Through periodic or annual reviews of your office's files, you should be able to determine records eligible for transfer or destruction.

Attachment I of these procedures contains a listing of the current applicable retention schedules for Department records.

Preparing Records for Storage

In preparing records for transfer, you will need standard records storage boxes, form CFS 832, Records Management and Records Center box labels. The standard records storage boxes can be obtained from the Central Management Services Office Supply section located at 126 West Jefferson Street, Springfield, Illinois 62706. The CFS 832 may be obtained from DCFS Central Stores and Records Center box labels from the Records Manager.

All records sent to the Records Center must be packed in a standard records storage box which is capable of holding one cubic foot of records. You can determine the number of boxes you will need by using these guidelines:

- a) For letter size files, one full drawer will fill 1½ boxes;
- b) For legal size files, one full drawer will fill 2 boxes; and
- c) For undersized materials, calculate the total number of linear inches of material and divide by the total number of linear inches of item which fit in a standard box.

In preparing records for transfer, you should use the proper Application for Authority to Dispose of State's records (records retention schedule) or consult with the Records Manager to obtain necessary information. If you have more than one records series to transfer, you must make separate listings of CFS 832 forms for each series. The 832 should be prepared in duplicate.

Procedures for Completing Forms

Records management form CFS 832

1. Date: Date on which 832 is prepared.
2. Division: Region or Division office.
3. Unit: Indicate Field Office or Unit designation.
4. Page No.: Indicate page of total pages and what box that page applies to the total boxes.
5. Records are to be: Either stored in State Records Center or request permission to destroy.
6. Disposition Schedule No.: This is the record schedule that applies to a specific series of records.
7. State Records Center Box No.: This number will be sent to you after records are stored and must be used when recalling records.
8. DCFS Shipment No.: Request this number from records manager when records are being prepared for storage or destruction.

Preparing the Records Center Box Labels

The records center box labels should be prepared to correspond to the form CFS 832. The title of the first and last file in the box should be marked

in the "Series this Box" section of the label. The remaining entries of the label should correspond with what is listed on the CFS 832 forms. You do not have to fill out the "Disposal Date" and "Records Center Box Number" section. After the labels are completed, they must be placed under the handle on the front or narrow end of the box.

Records Retention/Disposition Schedule

The Records Retention/Disposition Schedule is the grant of authority to an agency by the State Records Commission to manage a series of records. Each disposition schedule covers a specific records series and is a continuing authority granted in response to an application initiated by an agency. A copy of the schedule applicable to the unit's operation is available from the Records Manager.

Transferring the Boxes to Records Center

After completing the 832 forms and the record center box labels, send the 832 sheets with one copy to the DCFS Records Manager in Central Office. Retain the second copy for reference purposes.

After receiving the 832 forms, the Records Manager will examine them for correctness. The Records Manager will then complete record transfer sheets and notify the State Records Center of your shipment and you will be notified of approval to ship records.

If your office is in the Springfield area, the Records Center staff will pick up your records. If you hold records outside the Springfield area, the boxes may be shipped through a pre-paid common carrier.

Records may also be delivered to the Center by staff.

You must wait for authorization from the Records Manager before shipping.

After the boxes are received, the Records Center staff completes the forms by filling in the "disposal date", "retention period", and "record center box number" columns. Corresponding entries are also made on the Records Center box labels. A copy of the completed transfer sheet will then be returned to you for filing with your remaining copy of the 832 form.

Recalling Records

The State Records Center is a secure storage facility and will honor requests only from the Records Manager.

When requesting records you must identify the record by name, I.D. Number, agency box number and most importantly, records center box number. The records center box number is located in Column 13 of the Records Transfer Sheet that is returned to your office after the shipment is stored in the Records Center.

Requests made by telephone must be followed up with a written request.

Disposal of Records by the Records Center

Unless otherwise arranged, records in storage are destroyed by the Records

Center in accordance with the approved records retention schedule. The Records Manager is notified of disposal dates by the Record Center. The disposal date of stored records is located in Column 11 of the Records Transfer Sheet.

Non-Record Materials

The following is a State Records Commission guide and description of non-record materials:

- A. Material not filed as evidence of administrative activity or for the informational content thereof.
- B. Extra copies of documents preserved only for convenience of reference.
- C. Stocks of printed or reproduced documents kept for supply purposes, where file copies have been retained for record purposes.
- D. Books, periodicals, newspapers, posters and other library and museum materials made or acquired and preserved solely for reference or exhibition purposes.
- E. Private materials neither made nor received by a State agency pursuant to State law or in connection with the transaction of public business.
- F. Perforated, magnetized and photographically coated cards and tapes, provided that documents containing the same information have been filed in the same office and such cards and tapes were not prepared as evidence of administrative decisions or transactions subject to audit.
- G. Catalogs, trade journals.
- H. Copy device copies.
- I. Transmittal letters/routing slips.
- J. Miscellaneous notices.
- K. Preliminary drafts.
- L. Reproduction material.
- M. Telephone message -- notes.
- N. Shorthand notes.

Non-record materials may be destroyed at any time by the agency in possession of such materials without the prior approval of the State Records Commission.

Whenever doubt arises whether certain papers are non-record materials, it should be presumed that they are records.

ATTACHMENT IINDEX OF DCFS RECORD SCHEDULES

The following index lists the record retention schedules that are currently on file with the State Records Center for each Department Division or Unit within a Division. These schedules are also maintained by the DCFS Records Manager in the Department's Central Office, Springfield. If Division or Unit heads do not have copies of schedules for records for which they are responsible, they may contact the Records Manager. If they have records for which a record retention schedule is not listed in this index, they should follow the procedures in Section 436.1 - 436.5, Developing a Record Schedule.

Some of the schedules listed in this Index may be obsolete or appear to be non-reflective of current Department organization or usage. However, they are still listed because they are valid for storage and reference purposes. For example, Schedule #77-105 shows Child Abuse Records as belonging to the Office of Planning, Research and Evaluation. Child Abuse Records, of course, now are the responsibility of the Division of Child Protection. However, to retrieve records in storage for the period of time Schedule 77-105 was in effect, one must refer to that schedule.

#85-3 - Office of Investigations

1. Investigation Case Files

#84-43 - All DCFS Offices

1. Inactive Applications for Employment

#84-35 - Division of Management and Budget

1. Approved Budgets with Supporting Budget Preparation Reports and Workpapers
2. Agency Fiscal Transaction File
3. Voucher, Schedules and Supporting Documents
4. Purchase Orders, Requisitions and Related Documents and Correspondence
5. Property Control files

#84-34 - DCFS (all offices)

1. Administrative and General Correspondence

#84-31 - Division of Management and Budget

1. Title XX Eligibility Forms and Supporting Documents (DCFS Records)
2. Title XX Eligibility Forms and Supporting Documents

3. Day Care Claims Unit Correspondence File

#84-30 - Office of Legal Counsel

1. Legal Research Files

#83-70 - Division of Management and Budget

1. Service and Grant Program Contracts

#83-62 - Division of Policy and Plans

1. Administrative Case Review Files

2. Monthly and Semiannual Statistical Report of Administrative Case Reviews

#83-1 - Division of Management and Budget
(AFDC Medical Determination Unit)

1. Cancelled and Closed AFDC Foster Care Case Files

#82-94 - Division of Youth and Community Services

1. Minutes of Staff Meetings and of the Youth Roundtable

2. Administrative Correspondence

3. Requests for Proposals and Review Reports

#82-89 - Division of Child Protection

1. Child Care Entity Licensing/Permit Files

2. Family Day Care and Foster Home Licensing/Permit Files

3. Child Welfare Agency, Child Care Institution, Group Home, and Day Care Center
Licensing/Permit Files

#82-52E - Division of Child Protection

1. Abused and Neglected Child Reporting Act. Unfounded Reports Investigation/Services Case Files
(closed) (Original hard copy) (Computer Tapes)

2. Tickler file Listing of Case Transaction

3. Daily Mail Log

4. Computer Data Entry and Control Cards

5. Data Entry Logs

6. Call Log

7. SCR Copies of Guardianship Consent Forms and Correspondence

8. Closed Administrative Review Proceedings Files

9. Inactive Personnel Files (Duplicates)

10. Inactive Applications for Employment

11. Administrative and General Correspondence

12. Listing of Daily Case Transactions

#82-51M/E - Division of Child Protection

1. Abused and Neglected Act Case Files (Hard Copy, Computer Tapes and Microforms.)
2. Transactions and Case File Maintenance Summary Data

#82-40 - Division of Program Operations
(Replaces #65-10)

1. Closed Child Welfare Programs/Services Case Files

#82-32 - Personnel

1. Agency Personnel Files
2. Inactive Position Requests and Allocation Forms for Abolished Jobs

#82-26 - Division of Management and Budget

1. Closed Court of Claims Case Files

#82-20 - Internal Audits

1. Internal Audit Working Files
2. Official Reports of Internal Audits w/Related Papers
3. CPA Reports of Financial Audits of Private Child Care Facilities

#82-8 - Division of Management & Budget Contracts

1. Service and Grant Program Contracts and Agreements with Supporting Documents.

#81-100 - Division of Management & Budget
Parental Determinations Trust Fund Units

1. Care & Maintenance Ledger
2. Care & Maintenance Receipts
3. Care & Maintenance Billing Register
4. Trust Fund Ledger
5. Trust Fund Payment Authorization
6. Children's Trust Fund Receipts
7. Children's Trust Fund Cash Receipts & Disbursements Journal
8. Clearing Account Deposit Records
9. Notice of Charge Form
10. Debit Adjustment Forms
11. Credit Adjustment Forms
12. Remittance Reconciliation Forms
13. Copy and Cancelled Trust Fund Checks
14. Checking Account Deposit Tickets

#80-72 - Division of Policy and Plans
(Library)

1. Annual Reports of the Department of Public Welfare
2. Report of Statistician of the Department of Public Welfare

#77-105 - Planning, Research & Evaluation
(Amended to 82-51M/E Item #1)

1. Child Abuse Records

#77-74 - Information Systems

1. Departmental Voluntary Agency Claim Vouchers (Originals)
2. Closed Subsidized Adoption Case Files (FISCAL DATA) (Duplicates in Child's Service Record)
3. Daily Service Sheets (Originals) Replace #74-16
4. Monthly and Yearly Listing of Payments to Foster Parents (Originals)
5. Warrant Listing Received from Comptroller's Office (Duplicates)
6. Refunded Worksheets and Listings of Returned and Cancelled Warrants Originals & Duplicates
7. Board Vouchers (Duplicates Computer Print Outs)
8. General Invoice Vouchers and Related Authorization & Correspondence (Duplicates)
9. Daily Service Sheets (Originals) Ancillary Workers Replaces 74-16

#77-75 - Management Services
Trust Fund

1. Trust Fund Correspondence
2. Trust Fund Payment Authorization Program Files
3. Closed Trust Fund Accounts

#77-63 - Director's Office

1. Director's Files (originals)

#77-12 - Interstate Compact

1. Closed Interstate Child Placement Case Files
2. Services to Other Agencies Correspondence and Master Cards

#77-65 - Office of Child Development

1. Federal Programs Guidelines for Day Care of Children of Migrant Workers
2. Cost Reimbursement Agreements Federal Interagency Day Care Requirement Records
3. Contracts and Correspondence for the Welfare Recipient Employee Program in Day Care
4. General Correspondence
5. Day Care Center Contract Files
6. Policy and Procedures Development Files
7. Statewide Advisory Committee on Day Care
8. Description of OCD Performance Standards for Day Care Facilities

#77-68 - Management Services

1. Closed Department Employee Workmen Compensation Claim
2. Employees First Report of Injury and Employees Notice of Inquiry
3. Case Records Claim Service Files

#74-16 - Central Field & Business Management

1. SSIS Day Sheets

Dead Schedule See 77-74 Items 3 & 9

#72-54 - Trust Fund Unit

1. Trust Fund Files

#70-15 - Guardianship

1. Guardianship Files

Schedule 82-40 rewritten to include Guardianship Files

#70-10 - Management Services

1. Care & Maintenance Ledger
2. Care & Maintenance Receipt
3. Care & Maintenance Billing Register
4. Trust Fund Ledger
5. Trust Fund Payment Authorization
6. Children's Trust Fund Receipts
7. Children's Trust Fund Case Receipts & Disbursements Journal
8. Care and Maintenance Cash Receipts Journal
9. Clearing Account Deposit Slip
10. Notice of Charge
11. Debit Adjustments
12. Credit Adjustments
13. Cash Received by Mail
14. Remittance Reconciliation
15. Determination Section Report
16. Collections Section Report
17. Trust Fund Checks
18. Deposit Tickets

#67-10M - Soldiers & Sailors Home

100 Bound Volumes of Admission Ledgers Dated 1887-1921

Transferred to State Archives

#65-10 - Child Welfare (Program Operations)

Replaced by #82-40

1. Child Welfare Service Case Records

#65-9 - DCFS General Office

1. Administrative and General Office Correspondence
2. Consultant Register
3. Form FA 13 (C-13) Invoice Voucher
4. Statistical Reports
5. Memoranda File
6. Budget Estimates

7. Monthly Food Cost Reports
8. Receiving Reports (Purchase Orders, Requisitions and Cancelled Requisitions)
9. Financial Reports to Governor
10. Departmental Reports
11. Patients Trust Fund Receipts/Patients Trust Fund Disbursements Amusement Fund Records Bank
Accounting and Disbursement Records Commissary Fiscal Records
12. Transmittal Records (to and from State Treasurer)
13. Telegraphic Communication Records Telephone Records
14. Physical Inventory
15. Quarterly Requisitions
16. Kitchen Laboratory Reports
17. Complaint to Vendor and/or Shipper
18. Pest and Insect Control Reports
19. Travel Vouchers
20. Summary Store Accounts
21. Leases, Contracts, Service Agreements
22. Day Care & Mental Health Clinic Accounting Records
23. Audit Work Files (Replaced by Schedule #81-20)
24. Informational Inquiries (Edu. Grants)
25. Educational Grant Program
26. Stipend Grant (Adv Tr and or Nursing Ed.)
27. Special Grants (Employee Tr)
28. Form F1 - Allotment of Appropriations for Current Expenses and Equipment
29. Form F4 Report of Appropriations and Vouchers Passed